

## **SBIR/STTR FUNDING AGREEMENT CERTIFICATION 9-11-12**

All small businesses that are selected for award of an SBIR/STTR funding agreement must complete this certification at the time of award and any other time set forth in the funding agreement that is prior to performance of work under this award. This includes checking all of the boxes and having an authorized officer of the awardee sign and date the certification each time it is requested.

Please read carefully the following certification statements. The Federal government relies on the information to determine whether the business is eligible for a Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) Program award. A similar certification will be used to ensure continued compliance with specific program requirements during the life of the funding agreement. The definitions for the terms used in this certification are set forth in the Small Business Act, SBA regulations (13 C.F.R. Part 121), the SBIR/STTR Policy Directive and also any statutory and regulatory provisions referenced in those authorities.

Even if correct information has been included in other materials submitted to the Federal government, any action taken with respect to this certification does not affect the Government's right to pursue criminal, civil or administrative remedies for incorrect or incomplete information given in the certification. Each person signing this certification may be prosecuted if they have provided false information.

The undersigned has reviewed, verified and certifies that (all boxes must be checked):

(1) The business concern meets the ownership and control requirements set forth in 13 C.F.R. §121.702.

☐ Yes      ☐ No

(2) If a corporation, all corporate documents (articles of incorporation and any amendments, articles of conversion, by-laws and amendments, shareholder meeting minutes showing director elections, shareholder meeting minutes showing officer elections, organizational meeting minutes, all issued stock certificates, stock ledger, buy-sell agreements, stock transfer agreements, voting agreements, and documents relating to stock options, including the right to convert non-voting stock or debentures into voting stock) evidence that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702.

☐ Yes      ☐ No

☐ N/A Explain why N/A: \_\_\_\_\_

(3) If a partnership, the partnership agreement evidences that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702.

☐ Yes ☐ No

☐ N/A Explain why N/A: \_\_\_\_\_

(4) If a limited liability company, the articles of organization and any amendments, and operating agreement and amendments, evidence that it meets the ownership and control requirements set forth in 13 C.F.R. §121.702.

☐ Yes ☐ No

☐ N/A Explain why N/A: \_\_\_\_\_

(5) The birth certificates, naturalization papers, or passports show that any individuals it relies upon to meet the eligibility requirements are U.S. citizens or permanent resident aliens in the United States.

☐ Yes ☐ No

☐ N/A Explain why N/A: \_\_\_\_\_

(6) It has no more than 500 employees, including the employees of its affiliates.

☐ Yes ☐ No

(7) SBA has not issued a size determination currently in effect finding that this business concern exceeds the 500 employee size standard.

☐ Yes ☐ No

(8) During the performance of the award, the principal investigator will spend more than one half of his/her time as an employee of the awardee (NSF defines more than half the time as 51% based on a 40 hour work week) or has requested and received a written deviation from this requirement from the funding agreement officer.

☐ Yes ☐ No

☐ Deviation approved in writing by funding agreement officer: \_\_\_\_%

(9) All, essentially equivalent work, or a portion of the work proposed under this project (check the applicable line):

☐ Has not been submitted for funding by another Federal agency.

☐ Has been submitted for funding by another Federal agency but has not been funded under any other Federal grant, contract, subcontract or other transaction.

☐ A portion has been funded by another grant, contract, or subcontract as described in detail in the proposal and approved in writing by the funding agreement officer.

(10) During the performance of award, it will perform the applicable percentage of work unless a deviation from this requirement is approved in writing by the funding agreement officer (check the applicable line and fill in if needed):

☐ SBIR Phase I: at least two-thirds (66 2/3%) of the research.

☐ STTR Phase I and Phase II: at least forty percent (40%) of the research will be performed by the small business and at 30% of the research will be performed by the non-profit research institution

☐ SBIR Phase II: at least half (50%) of the research.

☐ Deviation approved in writing by the funding agreement officer: \_\_\_\_%

(11) During performance of award, the research/research and development will be performed in the United States unless a deviation is approved in writing by the funding agreement officer.

☐ Yes      ☐ No      ☐ Waiver has been granted

(12) During performance of award, the research/research and development will be performed at my facilities with my employees, except as otherwise indicated in the SBIR/STTR application and approved in the funding agreement.

☐ Yes      ☐ No

(13) It has registered itself on SBA's database as majority-owned by venture capital operating companies, hedge funds or private equity firms.

☐ Yes      ☐ No

☐ N/A Explain why N/A: \_\_\_\_\_

(14) It is a Covered Small Business Concern (a small business concern that:  
(a) was not majority-owned by multiple venture capital operating companies (VCOs), hedge funds, or private equity firms on the date on which it submitted an application in response to an SBIR/STTR solicitation; and (b) on the date of the SBIR/STTR award, which is made more than 9 months after the closing date of the solicitation, is majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms).

☐ Yes      ☐ No

☐ It will notify the Federal agency immediately if all or a portion of the work proposed is subsequently funded by another Federal agency.

☐ I understand that the information submitted may be given to Federal, State and local agencies for determining violations of law and other purposes.

☐ I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern that the information provided in this certification, the application, and all other information submitted in connection with this application, is true and correct as of the date of submission. I acknowledge that any intentional or negligent misrepresentation of the information contained in this certification may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. §1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. §3729 *et seq.*); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. §3801 *et seq.*); (4) civil recovery of award funds, (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180); and (6) other administrative penalties including termination of SBIR/STTR awards.

<b>Signature</b>	<b>Date</b> __/__/__
<b>Print Name (First, Middle, Last)</b>	
<b>Title</b>	
<b>Business Name</b>	
<b>Proposal Number:</b>	